U.S. Department of Energy
Office of Legacy Management

Procedure: 243.1

Effective: 7/3/06

SUBJECT: RECORDS INVENTORY

1. PURPOSE. To provide U.S. Department of Energy (DOE) Office of Legacy Management (LM) personnel with instructions for performing records inventories.

2. CANCELLATION. None

3. REFERENCES.

   a. 44 United States Code (U.S.C.) Chapter 29, Records Management

   b. 5 U.S.C. 552, Freedom of Information Act

   c. 5 U.S.C. 552a, Privacy Act

   d. 36 Code of Federal Regulations (CFR) Chapter XII, Subchapter B, Records Management

   e. DOE Order 243.1, Records Management Program

   f. DOE Order 243.2, Vital Records

   g. LM Procedure 200.4, Records Management

   h. LM Procedure 200.1, Vital Records

   i. LM Procedure 200.2, Electronic Records

   j. LM Procedure 200.2-1, Electronic Recordkeeping Systems and Electronic Information Systems

INITIATED BY: Business and Operations
NO. OF PAGES/ATTACHMENTS: 9 pages, 3 attachments

k. Disposition of Federal Records: A Records Management Handbook, National Archives and Records Administration (NARA), 2000 Web Edition

l. Frequently Asked Questions About Records Inventories, NARA, 2000 Web Edition

4. DEFINITIONS.

a. Audiovisual Records -- Records in pictorial or aural form that include still and motion media, sound recordings, graphic works, mixed media, and related finding aids and production files.

b. Current Records -- Records necessary to conduct the current business of an office and therefore generally maintained in office space and equipment. Also referred to as active records.

c. Cutoff -- Breaking, or ending, files at regular intervals, usually at the close of a fiscal or calendar year, to permit their disposal or transfer in complete blocks and, for correspondence files, to permit the establishment of new files. Case files are generally cut off at the end of the year in which the case is closed. Cutoff is also called file cutoff or file break.

d. Disposition -- A broad term which may refer to any of the following:

- Destroying records;
- Offering and transferring those records to NARA;
- Retiring or transferring records to a records storage facility;
- Transferring records from one office or agency to another; and
- Donating records to a Government or non-government entity.

e. Electronic Record -- Any information that is recorded in a form that only a computer can process and that satisfies the definition of a Federal record in 44 U.S.C. 3301.

f. File Plan -- A comprehensive outline specific to a project, organization, or function that defines its records series, file organization, records custodians, active file locations, file transfer instructions, file retention and disposition instructions and other project- or organization-specific instructions that provide guidance for effective records management.

g. Inventory -- A survey of agency records and nonrecord materials conducted primarily to develop records schedules and to identify records management problems, such as improper applications of recordkeeping technology.

h. LM Personnel -- Federal and contractor personnel associated with LM.

i. Medium -- The physical form of recorded information. Includes paper, film, disk, magnetic tape, and other materials on which information can be recorded.

j. Noncurrent Records -- Records no longer required to conduct agency business and are therefore ready for final disposition. Also referred to as inactive records.

k. Nonrecord Materials -- U.S. Government-owned informational materials excluded from the legal definition of records or not meeting the requirements of that definition. Include extra copies of documents kept only for convenience of reference, stocks of publications and of processed documents, and library or museum materials intended solely for reference or exhibition. Also called nonrecords.

l. Program Records Official (PRO) -- The individual ensuring all records management practices are properly executed.

m. Records -- Include all books, papers, maps, photographs, machine readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the U.S. Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations or other activities of the Government or because of the informational value of data in them.

n. Records Inventory Team -- Records Points of Contact and other LM Personnel selected by the Records Liaison Officer to conduct records inventory activities.

o. Records Liaison Officer (RLO) -- Individual, designated by the PRO, responsible for overseeing the LM records management program in cooperation with the DOE Records Officer.

p. Records Points of Contact (POCs) -- Designated LM staff members who support records management activities for their respective sites and assigned organizations.

q. Records Schedule -- A document providing mandatory instructions for what to do with records (and nonrecord materials) no longer needed for current Government business, with provision of authority for the final disposition of recurring or nonrecurring records. Also called Disposition Authority, Records Disposition Schedule, Records Control Schedule, Records Retention Schedule, or Schedule.

r. Records Series -- File units or documents arranged according to a filing system or kept together because they relate to a particular subject or function, result from the same activity, document a specific kind of transaction, take a particular physical form, or have some other relationship arising out of their creation, receipt, or use, such as restrictions on access and use.

s. Semicurrent Records -- Records required so seldom to conduct agency business that they should be moved to a holding area or directly to a records center. Also referred to as semiactive records.

t. Vital Record -- Records essential to the continued functioning or reconstitution of an organization during and after an emergency and also those records essential to protecting the legal and financial rights of that organization and of the individuals directly affected by its activities. Include both emergency-operating and rights-and-interests records.

5. QUALITY CONTROL.

a. This procedure is reviewed as necessary, but at least annually, to accommodate changing conditions within LM and to ensure compliance with applicable laws, regulations, and DOE requirements.

b. Records inventory plans are properly executed, and the quality of inventory results is assessed.

c. Information collected during inventories is compared with the LM File plan to identify series needing new or updated disposition authority.

6. RESPONSIBILITIES.

a. The LM Director and Office of Business Operations Director communicate support for records inventories and direct LM Personnel to cooperate with inventory activities.

b. The PRO:

(1) Reviews and approves records inventory plans, including goal and scope;

(2) Works to secure senior management support for records inventory activities; and

(3) Reviews the RLO’s report of inventory results.

c. The RLO:

- Develops records inventory plans and ensures those activities, once approved by management, are properly executed;
- Selects Records POCs and other LM Personnel to serve as a Records Inventory Team and provides guidance and training to team members performing records inventory activities; and
- Analyzes the results of the records inventories and completes follow-on activities, such as identifying corrective actions and scheduling any new series identified that is not covered in the LM File Plan.

d. Records POCs and other LM Personnel identified by the RLO to serve as part of the Records Inventory Team:

- Collect information from file station locations, offices of primary records generators, and other areas as needed to complete Record Series Inventory forms (LM Form 200.1-10).
- Submit completed inventory forms to the RLO for analysis.

e. LM Personnel participate in records inventory activities as required.

7. TRAINING REQUIREMENTS.

Personnel with responsibilities for records inventories should be knowledgeable of the applicable requirements and processes within this procedure and related DOE directives and NARA guidance.

8. DOCUMENT CONTROL.

a. The current and official controlled hard-copy version of this document shall reside with the Directives Manager.

b. The Directives Manager shall place the most current version of this procedure on the LM Intranet in a read-only format.

c. The Directives Manager shall place the current version of the form referenced in this procedure on the LM Intranet. The RLO contacts the Directives Manager concerning any needed revisions to the LM form. The Directives Manager coordinates any LM form changes.

9. PROCEDURE.

The records inventory process concerns records that are retained in LM employees' offices, central file rooms, and other locations and that have not been dispositioned. The records inventory scope should not include materials stored in federal records centers, as these records have already been scheduled and will be dispositioned according to their existing disposition authority.

Attachment A. illustrates the process of conducting a records inventory.

a. Preparing for a Records Inventory

(1) The RLO:

(a) Establishes the goals and scope for the planned records inventory. The RLO identifies:

- A goal that is general, such as ensuring that LM record material is being properly stored, or specific, such as gathering information to support revisions to the LM File Plan.

- A scope that identifies the extent of the inventory. The scope can include the entire LM organization or a specific office. The RLO may decide to encompass file stations and the offices of primary record generators (e.g., contracts officers, management personnel) as part of the inventory.

(b) Secures PRO approval and support for the planned records inventory. The RLO provides the PRO a summary of the inventory's goal and scope and states the business objective to be achieved (e.g., compliance with Federal regulations, reducing storage costs by limiting record storage volumes in office areas).

(2) The PRO:

(a) Reviews and approves the planned inventory activity described by the RLO.

(b) Works with senior management to ensure support for the records inventory and develops a draft memorandum that communicates to the LM organization the importance of the inventory activity.

(3) The LM Director and Office of Business Operations Director approve and issue the memorandum supporting the records inventory.

b. Conducting an Inventory

LM Personnel perform records inventories regardless of media or format (e.g., electronic, audiovisual, special media) of the record information collected. Records in an electronic format are inventoried according to LM Procedure 200.2-1, Electronic Recordkeeping Systems and Electronic Information Systems and following LM Form 200.1-5, Electronic System Registration/Inventory. Consult the LM File Plan for disposition authorities when conducting a records inventory.

(1) The RLO:

(a) Identifies Records POCs and other LM Personnel to serve on the Records Inventory Team. The personnel identified will vary depending on the nature of the inventory activity.

(b) Assigns roles and responsibilities for personnel supporting the inventory.

(c) Instructs Records Inventory Team members to use the Records Series Inventory form to collect pertinent information.

(2) Records Inventory Team members:

(a) Inventory each file station, the offices of primary records generators, and other areas as determined by the inventory scope.

(b) Complete a separate form for each record series inventoried at each location. Attachment B. includes instructions for completing the form. Attachment C. contains guidelines for estimating record volumes.

(c) Submit completed Records Series Inventory forms (LM Form 200.1-10) to the RLO.

c. Analyzing Inventory Results

The RLO:

(1) Assesses the quality of the inventory results. The RLO:

- Spot-checks for obvious errors;
- Reviews forms for completeness;
- Ensures areas identified in the inventory scope are adequately reflected in the inventory forms submitted;

- Identifies inconsistencies in the estimated volumes;
- Confirms that each form addresses a single series. Records series with similar descriptions and retention should be consolidated onto a single form;
- Identifies areas requiring corrective action;
- Ensures that nonrecord material is properly reflected or excluded from the inventory results, depending on the planned inventory scope; and
- Verifies the LM File Plan codes are correctly referenced and that unscheduled records are identified.

(2) Works with the Records Inventory Team to resolve errors and discrepancies.

(3) Compiles inventory results to document LM record holdings and reports results to the PRO. The RLO ensures that inventory results are retained according to the LM File Plan.

(4) Addresses corrective actions identified during the RLO's assessment of the inventory forms.

(5) Compares record series information collected with the LM File Plan and identifies any records series not covered in the file plan. The RLO updates the LM File Plan, including record volumes, as necessary.

(6) Develops disposition instructions (file cutoff, retention period, etc.) for any unscheduled series and completes Standard Form 115, Request for Records Disposition Authority. A current version of the form is available on the U.S. General Services Administration Forms Library Internet site. The form includes instructions for completing and submitting the request.

10. ATTACHMENTS.

a. Attachment A. – Records Inventory Flowchart

b. Attachment B. – Instructions for Completing a Records Series Inventory Form

c. Attachment C. – Guidelines for Estimating Volumes

Approved: Original signed by Celinda H. Crawford
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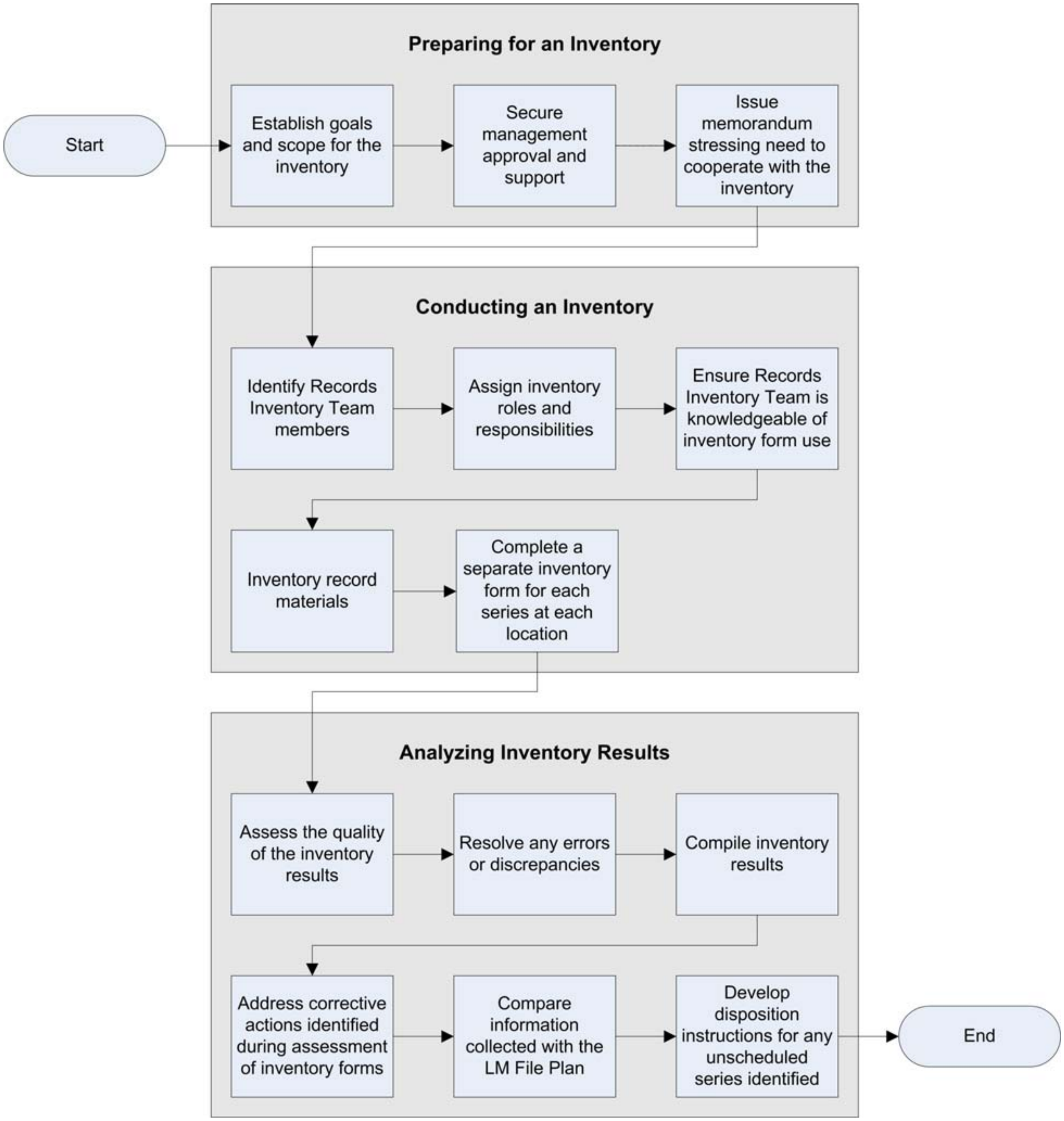
Distribution: As required

Attachment A. – Records Inventory Flowchart



Attachment B. – Instructions for Completing a Records Series Inventory Form

This attachment provides Office of Legacy Management (LM) personnel with instructions for completing LM Form 200.1-10, Records Series Inventory. The current version of the form is available on the LM Intranet.

1. Date Prepared – List the date the inventory was conducted.

2. Office Maintaining the Files – List the name and designator of the office maintaining the records. If the series was received from another office, also indicate the name and designator of that office and identify it as the “originating office.”

3. Inventory Personnel – List name, office, and telephone number of person or persons conducting the inventory.

4. Series Location – Give the precise location of the series.

5. Series Title – Give each series a title for brief reference (examples: “Correspondence,” “Administrative Files”). List the file code for each series included in the LM File Plan.

6. Inclusive Dates – List the earliest and latest dates of the records in each series. For case files or correspondence files, express the earliest date as the year only. For series being created at the time of the inventory, list the latest date as “to date” or “to present.”

7. Series Description – A clear description of the series is basic to the success of the inventory and the schedule. It may also be needed to clarify the series title. Examples of such language are:

    - “Correspondence files documenting the development of plans and policies pertaining to the mission or functions for which LM has primary responsibility; opinions and decisions of an important policy or those that set precedents. Case files of internal audits of agency programs, operations, and procedures and of external audits of contractors and grantees. Consists of audit reports, correspondence, and supporting working papers.”

    - “Mission Statement, organization charts, functional statements, and related records that document the essential organization, staffing, and procedures of LM.”

8. Medium – Indicate whether the record medium is paper, microform, electronic, audiovisual, or a combination. Records in an electronic format are inventoried according to LM Procedure 200.2-1, Electronic Recordkeeping Systems and Electronic Information Systems and following LM Form 200.1-5, Electronic System Registration/Inventory.

9. Arrangement – Indicate the arrangement or filing system used (e.g., “alphanumeric,” “numeric by purchase order number,” and “numeric by fiscal year”). If the series has no apparent arrangement, then mark it “unarranged.”

10. Volume – Express the volume of records in cubic feet (e.g., one record box equals one cubic foot). When inventorying audiovisual, microform, and related records, provide total cubic footage and an estimated item count (e.g., 1,200 prints, 3,500 negatives). See Attachment C. – Guidelines for Estimating Volumes.

11. Annual Accumulation – Estimate the annual rate of accumulation for each series if the records are current and continuing. If the records no longer accumulate, indicate “none.”

12. Cutoff – Indicate how often the records are cut off and when the last cutoff occurred. If they are not cut off, explain how inactive records are separated from active ones.

13. Reference Activity – Rate the reference activity of a paper record series, after the regular cutoff, by placing it in one of three categories:

    - Current/Active (used more than once a month per file unit),
    - Semicurrent/Semiactive (used less than once a month per file unit), or
    - Noncurrent/Inactive (not used for current business).

14. Vital Records Status – If the records qualify as vital records, specify whether they are emergency-operating records, legal and financial rights records, or both. Also, indicate whether they are the originals or duplicates in the duplication section below.

15. Duplication – Indicate duplication in form or content. This can include copies or similar information available elsewhere in the organization, either physically duplicated or in related documents.

16. Finding Aids – Note the existence of any finding aids for the series, especially if the records are to be proposed for permanent retention. Finding aids identify the contents of series to aid location of particular documents. They may include indexes, document lists, lists of file headings or containers, and classification or filing manuals.

17. Restrictions on Access and Use – Note any restrictions on access to, and use of, the particular series. The most common restrictions relate to the Privacy Act, Freedom of Information Act exemptions, and national security.

18. Condition of Permanent Records – Take note of the physical condition of records that are permanent or potentially permanent. Identify threats (examples: excessive heat, vermin) to their preservation and security.

19. Disposition Authority – If the series has an approved disposition authority, list the file code and retention period included in the LM File Plan. If the series is not included in the LM File Plan, list the files as “unscheduled,” make sure they are preserved, and ask the program office to recommend a suitable retention period.

Attachment C. – Guidelines for Estimating Volumes

The information in this attachment is intended to help personnel estimate record volumes during records inventories.

(a) Cubic foot conversion

- One letter-size file drawer holds 1.5 cubic feet of records.
- One legal-size file drawer holds two cubic feet of records.
- Seven reels of standard digital computer tape (2,400 feet long; 1/2 inch wide) equal 1 cubic foot.
- One standard records center carton holds one cubic foot.
- Fifty 100-foot 35-mm microfilm reels equal one cubic foot.
- One hundred 100-foot 16-mm microfilm reels equal one cubic foot.

(b) Audiovisual/electronic media conversion

Each of the following volumes constitutes approximately 1 cubic foot of record material:

(1) Photographs

(a) Negatives

- 2,300 35-mm six-exposure strips
- 8,640 2- by 2-inch mounted slides
- 2,184 4- by 5-inch file sheets
- 5,960 2¼- by 3¼-inch file sheets

(b) Prints

- 2,350 8- by 10-inch glossies
- 9,400 4- by 5-inch glossies

(2) Motion Pictures

- Six 35-mm reels (1,000 feet)

- 11 16-mm reels (1,200 feet)
- 15 16-mm reels (800 feet)
- 32 16-mm reels (400 feet)

(3) Video Recordings

- 10 ¾-inch cassettes
- Three 2-inch reels
- Nine 1-inch reels
- 43 ½-inch reels

(4) Sound Recordings

- 76 16-inch disc recordings
- 144 12-inch disc recordings
- 48 7-inch audiotape reels
- 16 10-inch audiotape reels